

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

REC'D 10 AUG 2005

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Applicant's or agent's file reference 2003/01-PCT	FOR FURTHER ACTION	See Form PCT/IPEA/416
International application No. PCT/US04/15082	International filing date (day/month/year) 13 May 2004 (13.05.2004)	Priority date (day/month/year) 15 May 2003 (15.05.2003)
International Patent Classification (IPC) or national classification and IPC IPC(7): C07C 69/00 and US Cl.: 560/139		
Applicant INVISTA TECHNOLOGIES S.A.R.L.		
<p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>4</u> sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p>a. <input type="checkbox"/> (sent to the applicant and to the International Bureau) a total of ___ sheets, as follows:</p> <p><input type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis of this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).</p> <p><input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.</p> <p>b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____, containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).</p>		
<p>4. This report contains indications relating to the following items:</p> <p><input checked="" type="checkbox"/> Box No. I Basis of the report</p> <p><input type="checkbox"/> Box No. II Priority</p> <p><input checked="" type="checkbox"/> Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p><input type="checkbox"/> Box No. IV Lack of unity of invention</p> <p><input checked="" type="checkbox"/> Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability, citations and explanations supporting such statement</p> <p><input type="checkbox"/> Box No. VI Certain documents cited</p> <p><input type="checkbox"/> Box No. VII Certain defects in the international application</p> <p><input type="checkbox"/> Box No. VIII Certain observations on the international application</p>		
Date of submission of the demand 10 December 2004 (10.12.2004)	Date of completion of this report 28 June 2005 (28.06.2005)	
Name and mailing address of the IPEA/ US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703) 305-3230	Authorized officer Samuel A. Barts Valerie Ball-Harris Telephone No. (571) 222-1600	

Form PCT/IPEA/409 (cover sheet) (January 2004)

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/US04/15082

**Box No. I Basis of the report**

1. With regard to the language, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.

- ☐ This report is based on translations from the original language into the following language \_\_\_\_\_, which is the language of a translation furnished for the purposes of
- ☐ international search (under Rules 12.3 and 23.1(b))
  - ☐ publication of the international application (under Rule 12.4)
  - ☐ international preliminary examination (under Rules 55.2 and/or 55.3)

2. With regard to the elements of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:

- ☒ the international application as originally filed/furnished
- ☒ the description:  
pages 1-14 as originally filed/furnished  
pages\* NONE received by this Authority on \_\_\_\_\_  
pages\* NONE received by this Authority on \_\_\_\_\_
- ☒ the claims:  
pages 15-17 as originally filed/furnished  
pages\* NONE as amended (together with any statement) under Article 19  
pages\* NONE received by this Authority on \_\_\_\_\_  
pages\* NONE received by this Authority on \_\_\_\_\_
- ☐ the drawings:  
pages NONE as originally filed/furnished  
pages\* NONE received by this Authority on \_\_\_\_\_  
pages\* NONE received by this Authority on \_\_\_\_\_
- ☐ a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing.

3. ☒ The amendments have resulted in the cancellation of:

- ☒ the description, pages none
- ☒ the claims, Nos. none
- ☒ the drawings, sheets/figs none
- ☒ the sequence listing (*specify*): none
- ☒ any table(s) related to the sequence listing (*specify*): none

4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).

- ☐ the description, pages \_\_\_\_\_
- ☐ the claims, Nos. \_\_\_\_\_
- ☐ the drawings, sheets/figs \_\_\_\_\_
- ☐ the sequence listing (*specify*): \_\_\_\_\_
- ☐ any table(s) related to the sequence listing (*specify*): \_\_\_\_\_

*\* If item 4 applies, some or all of those sheets may be marked "superseded."*

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No. ...

PCT/US04/15082

**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

- ☐ the entire international application  
☒ claims Nos. 4,6,7,9-11 and 21-25

because:

- ☐ the said international application, or the said claim Nos. \_\_\_\_\_ relate to the following subject matter which does not require an international preliminary examination (*specify*):

- ☒ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. 4,6,7,9,10 and 21-25 are so unclear that no meaningful opinion could be formed (*specify*):

Claims 4, 6 and 7 depend on claim 1, which is drawn to an ester. However, the said claims contain limitation directed to further limit a composition. Thus, it is unclear if the invention is a composition or a compound. Since the independent claim is drawn to a compound, it is unclear what is the composition that is being limited in the said claims, thus the said composition claims are unsearchable.

Claims 9, 10 and 11 depend on an independent claim 8, which is drawn to a method of preparation. Nonetheless, claims 9, 10 and 11 are drawn to limit a product. Thus it is unclear if the invention is a compound or method or preparation. Therefore claims 9, 10, and 11 are unclear and unsearchable.

Claims 21-25 are directed to a composition nonetheless it is unclear what are the components of the said composition. For instance the term catalyst embraces multiple possibilities and it is unclear what can satisfy the limitations of the said composition. Since the components of the said composition are not clearly defined the said composition is unsearchable.

- ☐ the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported by the description that no meaningful opinion could be formed.  
☐ no international search report has been established for said claims Nos. \_\_\_\_\_

- ☐ the nucleotide and/or amino acid sequence listing does not comply with the standard provided for in Annex C of the Administrative Instructions in that:

the written form	<input type="checkbox"/>	has not been furnished
	<input type="checkbox"/>	does not comply with the standard
the computer readable form	<input type="checkbox"/>	has not been furnished
	<input type="checkbox"/>	does not comply with the standard

- ☐ the tables related to the nucleotide and/or amino acid sequence listing, if in computer readable form only, do not comply with the technical requirements provided for in Annex C-*bis* of the Administrative Instructions.

- ☐ See Supplemental Box for further details.

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.  
PCT/US04/15082**Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

Novelty (N)	Claims <u>14-20</u>	YES
	Claims <u>1-3, 5, 8, 12-13</u>	NO
Inventive Step (IS)	Claims <u>14-20</u>	YES
	Claims <u>1-3, 5, 8, 12-13</u>	NO
Industrial Applicability (IA)	Claims <u>1-3, 5, 8, 12-20</u>	YES
	Claims <u>NONE</u>	NO

**2. Citations and Explanations (Rule 70.7)**

Claims 1-3, 5, 8, 12 and 13 lack an inventive step under PCT Article 33(3) as being obvious over Mozingo et al, as described in CAPLUS AN 1948:10287 for JACS 70, pp 229-231 (1948). Mozingo et al disclosed methyl p-toluate having a registry number 99-75-2.

Claims 1-3, 5, 8, 12 and 13 lack novelty under PCT Article 33(2) as being anticipated by Arendt et al, US patent 5990214. Arendt discloses diethylene glycol and other glycol esters of toluic acid its use as plasticizers.

Claims 14-20 meet the criteria set out in PCT Article 33(2)-(3), because the prior art does not teach or fairly suggest the composition described in the said claims.

Claims 1, 2, 3, 5, 8, 12, 13 and 14-20 meet the criteria set out in PCT Article 33(4), and thus meet industrial applicability because the subject matter claimed can be made or used in industry.

----- NEW CITATIONS -----